



Atty. Docket No. SRI-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Hilbers et al.

SERIAL NO.: 10/654,204 GROUP NO.: Not Yet Assigned

FILING DATE: September 3, 2003 EXAMINER: Not Yet Assigned

TITLE: System and Method for Controlling Charge Emission by a Micro-Fabricated Charge-Emission Device

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
  - the requisite Statement is below, **OR**
  - the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**

Information Disclosure Statement

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- the requisite Statement is below, AND
- the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

**STATEMENT**

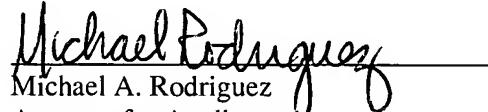
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

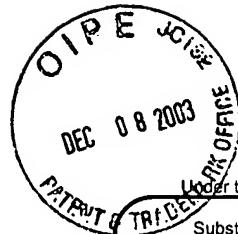
- 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: 12/5/03  
Reg. No. 41,274

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\_\_\_\_\_  
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet

1

of 1

**Complete if Known**

Application Number	10/654,204
Filing Date	September 3, 2003
First Named Inventor	Hilbers
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	SRI-004

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> ( <i>if known</i> )			
A1	US- 4,926,056		05-15-1990	Spindt	
A2	US- 5,223,226		06-29-1993	Wittmer et al.	
A3	US- 5,331,159		07-19-1994	Apffel, Jr. et al.	
A4	US- 5,423,964		06-13-1995	Smith et al.	
A5	US- 5,486,337		01-23-1996	Ohkawa	
A6	US- 5,541,473		07-30-1996	Duboc, Jr. et al.	
A7	US- 5,872,010		02-16-1999	Karger et al.	
A8	US- 5,994,696		11-30-1999	Tai et al.	
A9	US- 6,043,487		03-28-2000	Waki	
A10	US- 6,114,693		09-05-2000	Hirabayashi et al.	
A11	US- 6,140,640		10-31-2000	Wittmer et al.	
A12	US- 6,245,227 B1		06-12-2001	Moon et al.	
A13	US- 6,362,574 B1		03-26-2002	Aguero et al.	
A14	US- 6,394,942 B1		05-28-2002	Moon et al.	
A15	US- 6,454,938 B1		09-24-2002	Moon et al.	
A16	US- 6,459,206 B1		10-01-2002	Aguero et al.	
A17	US- 2003/0049177 A1		03-13-2003	Smith et al.	
	US-				
	US-				

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> ( <i>if known</i> )				

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Michael A. Rodriguez

Date: 12/5/03

Michael Rodriguez

**TRANSMITTAL FORM**

Transmitted herewith are the following:

1. An Information Disclosure Statement (2 pages);
2. PTO-1449 (1 page);
3. Seventeen patent references labeled A1-A17; and
4. A return receipt postcard.